

Exhibit 300 (BY2008)

| PART ONE | |
|--|-------------------------|
| OVERVIEW | |
| 1. Date of Submission: | 2006-11-07 |
| 2. Agency: | 015 |
| 3. Bureau: | 57 |
| 4. Investment Name: | OCC EXAMINATIONS |
| 5. UPI: | 015-57-01-12-01-3056-00 |
| 6. What kind of investment will this be in FY2008? | |
| Mixed Life Cycle | |
| 7. What was the first budget year this investment was submitted to OMB? | |
| FY2006 | |
| 8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap. | |
| <p>The OCC Examinations Major Application (MA) is an Office Automation system that supports the bank examination process. This examination process is designed to determine the condition of a bank, identify areas in need of corrective action, and monitor ongoing bank activities. In assessing the institution's condition, examiners must consider not only risks in the bank's own activities but also risks of activities engaged in by its non-banking subsidiaries and affiliates. Examiners must perform sufficient work to determine the overall CAMELS (a type of risk rating under the Uniform Financial Institutions Rating System (UFIRS), the overall risk assessment, the condition of the bank's Information Technology (IT) infrastructure, and the quality of fiduciary and asset management. Every three years, examiners must update the bank's consumer rating by reviewing its compliance with the Bank Secrecy Act and consumer protection laws and regulations. Community Reinvestment Act (CRA) examinations are conducted every three to five years, depending on the bank's size and prior CRA rating. In large banks, the majority of examinations work is conducted throughout the twelve-month supervisory cycle via ongoing supervisory activities or targeted examinations, which are often conducted as integrated risk reviews by business or product line. Since a product may have implications for several risk categories, the targeted reviews evaluate risk controls and processes for each applicable risk category, e.g., credit risk, transaction risk, reputation risk, etc. Most of the smaller national bank affiliates have one on-site examination during a twelve- or eighteen-month period. This investment makes supervisory information accessible to examiners electronically, thereby reducing the amount of search time required to conduct research and perform a bank examination.</p> | |
| 9. Did the Agency's Executive/Investment Committee approve this request? | |
| yes | |
| 9.a. If "yes," what was the date of this approval? | |
| 2006-08-09 | |
| 10. Did the Project Manager review this Exhibit? | |
| yes | |
| 11. Project Manager Name: | |
| Kieffer, Mark | |
| Project Manager Phone: | |
| 202-874-5101 | |
| Project Manager Email: | |
| Mark.Kieffer@occ.treas.gov | |
| 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project. | |
| yes | |
| 12.a. Will this investment include electronic assets (including computers)? | |
| yes | |
| 12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) | |
| no | |

| | |
|--|----|
| 13. Does this investment support one of the PMA initiatives? | |
| yes | |
| If yes, select the initiatives that apply: | |
| Expanded E-Government | |
| 13.a. Briefly describe how this asset directly supports the identified initiative(s)? | |
| In an effort to support the President's Management Agenda, components of this investment were reengineered and realigned with the PMA #4 "Expanded Electronic Government". These components will provide customers the ability to collaboratively develop, securely store, search, and report on the status of work documents at the enterprise, as well as, the business unit level. | |
| 14. Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)? | |
| no | |
| 15. Is this investment for information technology (See section 53 for definition)? | |
| yes | |
| 16. What is the level of the IT Project (per CIO Council's PM Guidance)? | |
| Level 1 | |
| 17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance) | |
| (1) Project manager has been validated as qualified for this investment | |
| 18. Is this investment identified as high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)? | |
| yes | |
| 19. Is this a financial management system? | |
| no | |
| 19.a. If yes, does this investment address a FFMIA compliance area? | |
| no | |
| 20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%) | |
| Hardware | 1 |
| Software | 2 |
| Services | 95 |
| Other | 2 |
| 21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? | |
| n/a | |
| 22. Contact information of individual responsible for privacy related questions. | |
| Name | |
| Andy Boots | |
| Phone Number | |
| 202-874-5638 | |
| Title | |
| IS Officer | |
| Email | |
| andy.boots@occ.teas.gov | |
| 23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? | |
| yes | |
| SUMMARY OF SPEND | |
| 1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated | |

annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

| | PY-1 & Earlier | PY | CY |
|---------------------------------|----------------|-------|-------|
| | -2005 | 2006 | 2007 |
| Planning Budgetary Resources | 0.135 | 2.227 | 0.310 |
| Acquisition Budgetary Resources | 0.137 | 4.112 | 2.599 |
| Maintenance Budgetary Resources | 0.073 | 1.108 | 1.815 |
| Government FTE Cost | 0.000 | 1.924 | 1.280 |
| # of FTEs | 0 | 2 | 1 |

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

no

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

There are currently no changes to report.

PERFORMANCE

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Table 1

| | Fiscal Year | Strategic Goal(s) Supported | Performance Measure | Actual/baseline (from Previous Year) | Planned Performance Metric (Target) | Performance Metric Results (Actual) |
|---|-------------|---|--|--|--|-------------------------------------|
| 1 | 2006 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | 100% of newly created electronic documents stored in the central repository. | Large Bank Supervision (LBS) document repositories are distributed across the OCC infrastructure using various storage methods such as local, personal, and public network drives. | The percentage of electronic documents stored in the central repository. | |
| 2 | 2006 | An expert, highly motivated, and | 100% of documents can be searched and retrieved based on | There is no document search capability in the Examinations function. | The percentage of documents that can be searched | |

| | | | | | | |
|---|------|---|--|--|--|--|
| | | diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization | LBS metadata. | | and retrieved. | |
| 3 | 2006 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization | All LBS Examiner in Charge (EIC) support and use the Examinations solution. | Examinations has not been implemented. All EICs are using LBIS. | The number of EICs that support and use the Examinations function. | |
| 4 | 2006 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization | Provide LB management with the capability to track the status of supervisory documents in the Examinations solution. | There is no system capability to track the status of documents. | Capability to track the status of supervisory documents during the process. | |
| 5 | 2006 | A safe and sound national banking system: Risks to national banking system are anticipated, understood, addressed and conveyed to national banks. | Examinations function is implemented; Examinations solutions is used by one LB for resource planning. | Currently, LB supervisory planning and tracking is performed differently across the enterprise by various spreadsheets and Access databases. | Single tool for Large Bank oversight strategic resource planning and scheduling across all Large Banks. The number of Large Banks using Examinations solution. | |
| 6 | 2007 | A safe and sound national banking system: Risks to national banking system are anticipated, understood, addressed and conveyed to national banks. | Reduce the time it takes to access, consolidate, and summarize LB portfolio information to less than an hour. | There is no system capability to view the current status of the LB portfolio. It takes several weeks to access and summarize the necessary information for senior management. This increases the amount of risk involved with managing the LB portfolio. | The amount of time it takes to access, consolidate, and summarize LB portfolio information. | |
| 7 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient | All of the following LBS processes standardized across the country: | The current process of document handling within the LB organizations is independently managed where each EIC and Headquarters (HQ) functions follow a different default | Standardization of LBS processes through workflow technology and standard templates. | |

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|----|------|---|---|---|---|--|
| | | and effective organization. | | standard or methodology. | | |
| 8 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Reduce the time it takes to convert documents to records to be under five minutes and eliminate all costs associated with the packaging and shipping of LBS records. | The process of converting documents to records is currently manual, involving packaging, mailing, handling, and physical storage of official records. It currently takes several days to turn a document into a record. | The time and cost associated with converting a document to a record. | |
| 9 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | To have no material weaknesses, reportable conditions, or non-reportable conditions related to the Examinations solution. | Currently, there is one non-reportable condition related to Examinations applications. There are no material weaknesses or reportable conditions. (Refer to the Capital Call Database for further information on the non-reportable condition.) | The number of material weaknesses, reportable conditions, and non-reportable conditions related to the Examination solution. | |
| 10 | 2007 | A safe and sound national banking system: Risks to national banking system are anticipated, understood, addressed and conveyed to national banks. | Examinations is used by all LBs for resource planning. | Currently, LB supervisory planning and tracking is performed differently across the enterprise by various spreadsheets and Access databases. | Single tool for Large Bank oversight strategic resource planning and scheduling across all Large Banks. The number of Large Banks using Examinations. | |
| 11 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | 100% of supervisory and planning activities will have the capability to be tracked and summarized to provide status of supervisory activities across Large Banks in Examinations. | There is no single national banking system application to track the status of supervisory activities and resource planning throughout Large Banks. | The amount of time it takes to access, consolidate and summarize Large Bank portfolio information. | |
| 12 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | All current LB reports, defined in SRS will be 100% available from Examinations at implementation. | There is no system capability to view the current status of the Large Bank portfolio. It currently takes several weeks to access, consolidate and summarize the necessary information for senior management. | View Large Bank oversight strategy status across all Large Banks and all resources. The number of Large Banks reports implemented. | |
| 13 | 2007 | An expert, highly motivated, and diverse | 100% accuracy in resource utilization data available upon implementation in | Very difficult manual process to compile resource utilization across LBs due to non- | View Large Bank resource utilization. | |

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|----|------|---|---|---|---|--|
| | | workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | the Examinations database. | standard planning processes and systems. | | |
| 14 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Reduce strategy planning time by 20% | Strategy planning is a time-consuming near-manual process. | Reduce strategy-planning time. | |
| 15 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Supervisory category cost data across LBs available within single database structure. | Very difficult manual process to compile cost data across LBs due to non-standard planning processes and systems. | View costs of each supervisory category across LBs. | |
| 16 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Resource optimization increased by 100% due to a single source of information. | Optimization of LB resources is not possible due to non-standard planning processes and systems used at each LB. | Ability to optimize Large Bank resources. | |
| 17 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Examiner expertise area cost data availability increased by 80% due to a single source of information | Very difficult manual process to compile cost data across LBs due to non-standard planning processes and systems. | View cost by examiner expertise area. | |
| 18 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Supervisory cost data availability increased by 80% due to a single source of information LB. | Very difficult manual process to compile cost data across LBs due to non-standard planning processes and systems. | View supervisory cost by Large Bank. | |

| | | | | | | |
|----|------|---|---|--|--|--|
| 19 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Cost by geographic region data availability increased by 80% due to a single source of information | Very difficult manual process to compile cost data across LBs due to non-standard planning processes and systems. | View cost by geographic region. | |
| 20 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Cost of travel data availability increased by 80% due to a single source of information | Very difficult manual process to compile cost data across LBs due to non-standard planning processes and systems. | View cost of travel. | |
| 21 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Costs of supervisory activities performed are readily available from Examinations to substantiate regulatory fees to Large Banks. | Very difficult manual process to compile cost data across LBs due to non-standard planning processes and systems. | Substantiate cost/benefit of regulatory fees to Large Banks. | |
| 22 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Supervisory strategies for all large banks defined, resource loaded and scheduled in Examinations-LB. Staffing and skill distribution shortfall/excess data available as needed from Examinations-LB. | Very difficult, manual process to calculate required staffing levels and staff skill distribution for supervisory strategies across all LBs due to non-standard processes and tools. | Substantiate staffing levels and staff skill distribution. | |
| 23 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Examinations tool and associated planning process used by all LBs for resource planning. | Planning performed differently for each LB with different tools. | Establish standard planning process for all Large Banks. | |
| 24 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC | Examinations tool can be configured by system administrator to implement new performance metrics across LBs as | Difficult manual process implement performance metrics across all LBs. | Implement other performance metrics. | |

| | | | | | | |
|----|------|---|---|---|---|--|
| | | resources: OCC is an efficient and effective organization. | needed. | | | |
| 25 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Resource demand and resource availability information available as needed from Examinations. | Difficult manual process to determine LB resource availability due to non-standard planning processes and tools used at each LB. | View resource availability across all Large Banks. | |
| 26 | 2007 | An expert, highly motivated, and diverse workforce that makes effective use of OCC resources: OCC is an efficient and effective organization. | Impact of strategic plan changes on schedule and resource availability across all LBs is calculated automatically and the information is available as needed from Examinations. | Impact of strategic plan changes on schedule and resource availability is not available due to non-standard planning processes and tools used at each LB. | Calculate and View impacts of plan changes to plan schedule and resource availability across all Large Banks. | |

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Table 2

| Fiscal Year | Measurement Area | Measurement Grouping | Measurement Indicator | Baseline | Planned Improvement to the Baseline | Actual Results |
|-------------|------------------|----------------------|-----------------------|----------|-------------------------------------|----------------|
|-------------|------------------|----------------------|-----------------------|----------|-------------------------------------|----------------|

| EA |
|--|
| <i>In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.</i> |
| 1. Is this investment included in your agency's target enterprise architecture? |
| no |
| 2. Is this investment included in the agency's EA Transition Strategy? |
| no |
| 2.b. If no, please explain why? |
| The portfolio of OCC investments has been completely reformulated to allow exact alignment of IT investments, technical solutions, and FISMA certification and reporting. This will not be reflected in the OMB Assessment until the reformulated investments are approved during this cycle. |
| 3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.whitehouse.gov/omb/egov/ . |
| Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM. |
| Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique |

Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

| | Agency Component Name | Agency Component Description | Service Type | Component | Reused Component Name | Reused UPI | Internal or External Reuse? | Funding % |
|---|--------------------------------------|---|-------------------------|------------------------------|-----------------------|------------|-----------------------------|-----------|
| 1 | Supervisory Information System (SIS) | SIS (EV, LB, Office) manage bank exam lifecycle | Tracking and Workflow | Process Tracking | | | Internal | 2 |
| 2 | Supervisory Information System (SIS) | SIS-Reports, FINDRS analyze, report on OCC bank exams | Reporting | Ad Hoc | | | Internal | 2 |
| 3 | Supervisory Information System (SIS) | SIS-Reports, FINDRS analyze, report on OCC bank exams | Reporting | Standardized / Canned | | | Internal | 2 |
| 4 | Supervisory Information System (SIS) | Track & schedule exam work vis SIS EV, LB, Office | Management of Processes | Program / Project Management | | | Internal | 2 |
| 5 | Supervisory Information System (SIS) | Analysis of bank credit using SIS-NCT | Analysis and Statistics | Mathematical | | | Internal | 2 |

4. To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component: Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications.

Service Specification: In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

| | SRM Component | Service Area | Service Category | Service Standard | Service Specification (i.e., vendor and product name) |
|---|------------------|-----------------------------|----------------------|---------------------------------|---|
| 1 | Process Tracking | Service Access and Delivery | Access Channels | Web Browser | Microsoft Internet Explorer |
| 2 | Process Tracking | Service Access and Delivery | Delivery Channels | Intranet | OCC-manage Intranet with AT&T telco vendor |
| 3 | Process Tracking | Service Access and Delivery | Service Requirements | Authentication / Single Sign-on | Microsoft Authentication |
| 4 | Process Tracking | Service Access and Delivery | Service Requirements | Hosting | OCC-hosted at OCC Data Center on HP Proliant Servers |
| 5 | Process Tracking | Service Access and Delivery | Service Requirements | Legislative / Compliance | Section 508 |
| 6 | Process Tracking | Service Access and Delivery | Service Transport | Service Transport | IP, TCP |

| | | | | | |
|----|------------------|-------------------------------------|---------------------------|------------------------------------|---|
| 7 | Process Tracking | Service Access and Delivery | Service Transport | Supporting Network Services | DNS, DHCP |
| 8 | Process Tracking | Service Platform and Infrastructure | Database / Storage | Database | Sybase, SQL Server, DB2 |
| 9 | Process Tracking | Service Platform and Infrastructure | Database / Storage | Storage | HP/Compaq Storageworks SAN |
| 10 | Process Tracking | Service Platform and Infrastructure | Delivery Servers | Application Servers | Sybase Enterprise Application Server |
| 11 | Process Tracking | Service Platform and Infrastructure | Delivery Servers | Web Servers | Microsoft IIS |
| 12 | Process Tracking | Service Platform and Infrastructure | Hardware / Infrastructure | Local Area Network (LAN) | Ethernet |
| 13 | Process Tracking | Service Platform and Infrastructure | Hardware / Infrastructure | Servers / Computers | HP Proliant enterprise servers, primarily Dell desktop & notebook computers |
| 14 | Process Tracking | Service Platform and Infrastructure | Hardware / Infrastructure | Wide Area Network (WAN) | Fream Relay, T1, VPN |
| 15 | Process Tracking | Service Platform and Infrastructure | Software Engineering | Integrated Development Environment | Sybase Powerbuilder, Microsoft Visual Studio .NET |
| 16 | Process Tracking | Service Platform and Infrastructure | Software Engineering | Software Configuration Management | PVCS (version tracking), Remedy (defect tracking) |
| 17 | Process Tracking | Service Platform and Infrastructure | Support Platforms | Platform Dependent | Windows 2000 |
| 18 | Process Tracking | Component Framework | Business Logic | Platform Independent | C/C++ |
| 19 | Process Tracking | Component Framework | Business Logic | Platform Dependent | C# |
| 20 | Process Tracking | Component Framework | Data Interchange | Data Exchange | SOAP |
| 21 | Process Tracking | Component Framework | Data Management | Database Connectivity | ODBC, OLE/DB, ADO.NET |
| 22 | Process Tracking | Component Framework | Data Management | Reporting and Analysis | XML |
| 23 | Process Tracking | Component Framework | Presentation / Interface | Static Display | HTML |
| 24 | Process Tracking | Service Interface and Integration | Integration | Middleware | RPC |
| 25 | Process Tracking | Service Interface and Integration | Interface | Service Description / Interface | WSDL |
| 26 | Process Tracking | Service Interface and Integration | Interface | Service Discovery | UDDI |
| 27 | Process Tracking | Service Interface and Integration | Interoperability | Data Format / Classification | Namespaces, XML |
| 28 | Process Tracking | Service Interface and Integration | Interoperability | Data Transformation | XSLT |
| 29 | Process Tracking | Service Interface and Integration | Interoperability | Data Types / Validation | XML Schema |
| 30 | Process Tracking | Component Framework | Presentation / Interface | Content Rendering | CSS, DHTML |

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| 5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? |
| no |
| 5.a. If yes, please describe. |
| No. This system is not for public access, therefore alignment with FirstGov, Pay.Gov is not applicable. |
| 6. Does this investment provide the public with access to a government automated information system? |
| no |
| PART TWO |
| RISK |
| <i>You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.</i> |
| <i>Answer the following questions to describe how you are managing investment risks.</i> |
| 1. Does the investment have a Risk Management Plan? |
| yes |
| 1.a. If yes, what is the date of the plan? |
| 2006-05-24 |
| 1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? |
| no |
| 3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: (O&M investments do NOT need to answer.) |
| The cost of all milestones is risks adjusted to reflect consideration of potential negative consequences. All identified alternatives as well as the impact and probability of occurrence are weighed using are staff's expertise and many years of experience. The various possible outcomes are then measured against the chosen alternative to give us a better idea of the level of risk involved and the severity of any negative consequences. |
| COST & SCHEDULE |
| Does the earned value management system meet the criteria in ANSI/EIA Standard 748? |
| no |
| 2.a. What is the Planned Value (PV)? |
| 10.299 |
| 2.b. What is the Earned Value (EV)? |
| 10.299 |
| 2.c. What is the actual cost of work performed (AC)? |
| 9.859 |
| What costs are included in the reported Cost/Schedule Performance information? |
| Contractor and Government |
| 2.e. As of date: |
| 2007-01-18 |
| 3. What is the calculated Schedule Performance Index (SPI= EV/PV)? |
| 1 |
| 4. What is the schedule variance (SV = EV-PV)? |
| 0.000 |
| 5. What is the calculated Cost Performance Index (CPI = EV/AC)? |
| 1.04 |
| 6. What is the cost variance (CV = EV-AC)? |
| 0.440 |

| |
|---|
| <i>7. Is the CV or SV greater than 10%?</i> |
| no |
| <i>7.d. What is most current Estimate at Completion?</i> |
| 13.461 |
| <i>8. Have any significant changes been made to the baseline during the past fiscal year?</i> |
| no |
| |